

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of :  
Biondi et al. :  
 : Group Art Unit: 2161  
Serial No.: 09/893,596 :  
 :  
Filed: June 29, 2001 : Examiner: Unassigned  
 :

For: SYSTEM AND METHOD FOR MULTIPLE ACCOUNT SINGLE SECURITY  
TRADING

**REQUEST FOR RECONSIDERATION OF**  
**PETITION UNDER 37 CFR 1.47(a)**

Honorable Assistant Commissioner  
for Patents  
Washington, DC 20231

**RECEIVED**

**MAR 24 2003**

**OFFICE OF PETITIONS**

Sir:

In response to a second Decision, dated August 23, 2003, to again dismiss a first Petition under 37 CFR 1.47(a), filed February 19, 2002, submitted herewith are the following documents:

1. Substitute Declaration and Power of Attorney (5 originals) executed by 5 of 7 joint inventors.
2. Second Petition under 37 CFR 1.47(a), with supporting Declaration of Traci L. Aston (including Exhibits A, B, C, and D).

Original Declarations and Powers of Attorney, executed by inventors Robert S. Coira, Joel D. Derstine, Christopher Panzica, Michael J. Kent, Theresa M. McNamara and Ann Kathleen Harding-Hesse and submitted to the United States Patent and Trademark Office along with the first Petition under 37 CFR 1.47(a), included a blank

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space for inventor Matthew Biondi to indicate his citizenship. Mr. Biondi refused, multiple times, to complete and execute the original Declaration and Power of Attorney, as detailed in the first Petition under 37 CFR 1.47(a). As a result of Mr. Biondi's repeated refusal, the originally executed Declaration and Power of Attorney of the other inventors does not set forth Mr. Biondi's citizenship.

A first Decision, dated May 6, 2002, dismissing the first Petition required that a Declaration setting forth Mr. Biondi's citizenship be submitted to the United States Patent and Trademark Office in order for the first Petition to be granted. Ms. Frances Hicks, Lead Petitions Examiner, in a telephonic interview on July 3, 2002 indicated that only the previously executing inventors, not Mr. Biondi, need execute a Substitute Declaration and Power of Attorney, as Mr. Biondi previously refused to execute the original Declaration and Power of Attorney.

In a first Request For Reconsideration of the first Petition under 37 CFR 1.47(a), filed July 8, 2002, applicants' counsel indicated that a Substitute Declaration and Power of Attorney had been prepared, was in the process of being executed by the previously executing inventors, and would be filed with the United States Patent and Trademark Office upon execution. Additionally, the first Request For Reconsideration included a copy of the prepared Substitute Declaration and Power of Attorney.

The second Decision dismissing the first Petition, responsive to the first Request For Reconsideration, reiterates the requirement that a Declaration setting forth Mr. Biondi's citizenship be executed by the inventors signing on behalf of Mr. Biondi and be submitted to the United States Patent and Trademark Office for the first Petition to be granted.

Inventors Robert S. Coira, Christopher Panzica, Michael J. Kent, Theresa M. McNamara and Ann Kathleen Harding-Hesse have now executed the Substitute Declaration and Power of Attorney in accordance with the United States Patent And Trademark Office requirements. Inventor Joel D. Derstine, who executed the original Declaration and Power of Attorney, has not executed the Substitute Declaration and Power of Attorney. Accordingly, a second petition under 37 CFR 1.47(a) is filed herewith, requesting that the United States Patent and Trademark Office accept and proceed with examination of the above-referenced application notwithstanding Mr. Derstine's lack of execution of the Substitute Declaration and Power of Attorney.


It is requested that the dismissal of the first Petition under 37 CFR 1.47(a) be

reconsidered and withdrawn in view of the executed Substitute Declarations and Powers of Attorney and the second Petition under 37 CFR 1.47(a).

A Petition for an extension of time for five months under 37 CFR 1.136 is submitted herewith. Please charge any shortage in fees due in connection with the filing of this paper, including extension of time fees, to the Deposit Account of Antonelli, Terry, Stout & Kraus, LLP 01-2135(1158.41559X00) and please credit any excess fees to such deposit account.

Respectfully submitted,

ANTONELLI, TERRY, STOUT & KRAUS, LLP

By:   
Sterling W. Chandler  
Registration No. 51,370

SWC

1300 N. 17th Street  
Suite 1800  
Arlington, VA 22209

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Date: March 24, 2003

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of : Group Art Unit: 2161  
Biondi et al. :  
 : Examiner: Unassigned  
Serial No.: 09/893,596 :  
 :  
Filed: June 29, 2001 :  
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For: SYSTEM AND METHOD FOR MULTIPLE ACCOUNT SINGLE SECURITY  
TRADING

**PETITION UNDER 37 CFR §1.47(a)**

Honorable Assistant Commissioner  
for Patents  
Washington, DC 20231

Sir:

This Petition is filed concurrently with a Request for Reconsideration of a first Petition Under 37 CFR 1.47(a) requesting the Commissioner to accept, and proceed with the examination of, the above-referenced Application notwithstanding the refusal of co-inventor Matthew Biondi to execute an original Declaration and Power of Attorney. The undersigned also hereby petitions the Commissioner under 37 CFR §1.47(a) to accept, and proceed with the examination of, the above-referenced Application notwithstanding the unavailability or refusal of co-inventor Joel D. Derstine to execute a Substitute Declaration and Power of Attorney. In support of this Petition, it is respectfully submitted that:

1. The above-referenced utility patent application was filed on June 29, 2001, as acknowledged in the Filing Receipt and Notice to File Missing parts of Application dated August 17, 2001.

2. As set forth in the original Declaration and Power of Attorney, filed February 19, 2002, the co-inventors on the above-referenced application are Matthew Biondi, Robert S. Coira, Joel D. Derstine, Christopher Panzica, Michael J. Kent, Theresa M. McNamara and Ann Kathleen Harding-Hesse.

3. The original Declaration and Power of Attorney was executed by named co-inventors Robert S. Coira, Joel D. Derstine, Ann Kathleen Harding-Hess, Michael J. Kent, Theresa M. McNamara, and Christopher Panzica, but not co-inventor Matthew Biondi.

4. The first Petition Under 37 CFR 1.47(a) was filed simultaneously with the original Declaration and Power of Attorney requesting that the United States Patent and Trademark Office accept, and proceed with the examination of, the above-referenced Application notwithstanding refusal of co-inventor Matthew Biondi to execute the original Declaration and Power of Attorney.

5. In a Decision dated May 6, 2002 the United States Patent and Trademark Office dismissed the first Petition under 37 CFR 1.47(a) because the original Declaration and Power of Attorney was not in compliance with 37 CFR 1.63 and 1.64, as it lacked the citizenship of co-inventor Matthew Biondi. The Decision of May 6, 2002 requires that a Substitute Declaration and Power of Attorney be filed which includes the citizenship of co-inventor Matthew Biondi, in compliance with 37 CFR 1.63 and 1.64.

6. In a telephonic interview with Ms. Frances Hicks, Lead Petitions Examiner, on July 3, 2002, Ms. Hicks indicated that only the previously executing co-inventors, not Mr. Biondi, need execute a Substitute Declaration and Power of Attorney, as Mr. Biondi previously refused to execute the original Declaration and Power of Attorney.

7. In a first Request for Reconsideration of the first Petition Under 37 CFR 1.47(a), filed July 8, 2002 and responsive to the first Decision dismissing the first

Petition, applicants' counsel indicated that a Substitute Declaration and Power of Attorney had been prepared, was in the process of being executed by the previously executing co-inventors, and would be filed when executed by each of the previously executing co-inventors.

8. In a Decision dated August 23, 2002, the United States Patent and Trademark Office again dismissed the first Petition under 37 CFR 1.47(a), responsive to the first Request for Reconsideration, because the original Declaration and Power of Attorney was not in compliance with 37 CFR 1.63 and 1.64, due to the lack of the citizenship of co-inventor Matthew Biondi. The Decision of August 23, 2002 again required that a Substitute Declaration and Power of Attorney be filed including the citizenship of co-inventor Matthew Biondi, in compliance with 37 CFR 1.63 and 1.64.

9. A Substitute Declaration and Power of Attorney filed herewith has been executed by named co-inventors Robert S. Coira, Christopher Panzica, Michael J. Kent, Theresa M. McNamara, and Ann Kathleen Harding-Hess. Accordingly, co-inventors Robert S. Coira, Christopher Panzica, Michael J. Kent, Theresa M. McNamara, and Ann Kathleen Harding-Hess have signed the Application on their own behalf as well as on behalf of non-signing inventors Matthew Biondi and Joel D. Derstine.

10. As evidenced by the Declaration of Traci L. Aston, dated March 19, 2003 and submitted herewith, a copy of the original Declaration and Power of Attorney as executed by Mr. Derstine, a Substitute Declaration and Power of Attorney, including Mr. Biondi's citizenship, and a cover letter requesting Mr. Derstine to execute the Substitute Declaration and Power of Attorney and return the same were first forwarded via USPS (First Class mail) to Mr. Derstine at his last known address on or about August 9, 2002. No response from Mr. Derstine was received responsive to these forwarded materials.

11. As also evidenced by the Declaration of Ms. Aston, on or about February 25, 2003 a second copy of the originally executed Declaration and Power of Attorney,

a second copy of the Substitute Declaration and Power of Attorney, and a cover letter requesting Mr. Derstine to execute the Substitute Declaration and Power of Attorney and return the same by March 7, 2003 were forwarded via USPS (Certified Mail, Return Receipt Requested) to Mr. Derstine at his last known address. No response from Mr. Derstine was received responsive to these second forwarded materials.

12. As further evidenced by the Declaration of Ms. Aston, on or about March 6, 2003 Ms. Aston obtained a new address for Mr. Derstine from Mr. Richard Tierney.

13. As still further evidenced by the Declaration of Ms. Aston, on or about March 6, 2003 a third copy of the originally executed Declaration and Power of Attorney, a third copy of the Substitute Declaration and Power of Attorney, and a cover letter requesting Mr. Derstine to execute the Substitute Declaration and Power of Attorney and return the same by March 12, 2003 were forwarded via UPS (Next Day Delivery) to Mr. Derstine at the new address obtained from Mr. Richard Tierney.

14. As also evidenced by the Declaration of Ms. Aston and the UPS Tracking Summary, on March 11, 2003 Mr. Derstine received the materials forwarded via UPS.

15. As further evidenced by the Declaration of Ms. Aston, as of March 19, 2003, an executed copy of the Substitute Declaration and Power of Attorney has not been received from Mr. Derstine.

16. More recently, additional copies of the originally executed Declaration and Power of Attorney and Substitute Declaration and Power of Attorney were forwarded by the offices of Antonelli, Terry, Stout and Kraus, LLP, via Federal Express (Express Mail-overnight delivery, Return Receipt Requested), to Mr. Derstine at the new address obtained from Mr. Tierney, under a cover letter requesting that Mr. Derstine execute the forwarded Substitute Declaration and Power of Attorney and return the same to Antonelli, Terry, Stout and Kraus, LLP. Included in the most recently forwarded materials was a postage pre-paid and pre-addressed overnight

delivery envelope for Mr. Derstine's use in returning the executed Substitute Declaration and Power of Attorney. Should executed documents be received from Mr. Derstine, this filing shall be promptly supplemented with such.

17. It is respectfully submitted that, as evidenced by the attached Declaration of Traci L. Aston and the UPS Tracking Summary, (i) a diligent effort has been made to obtain a signature on the Substitute Declaration and Power of Attorney by Joel D. Derstine, (ii) inventor Derstine has refused to execute the Substitute Declaration and Power of Attorney, and (iii) all available joint inventors (i.e. Robert S. Coira, Christopher Panzica, Michael J. Kent, Theresa M. McNamara, and Ann Kathleen Harding-Hess) have executed the Substitute Declaration and Power of Attorney on their own behalf and on behalf of non-signing inventor Joel D. Derstine, as well as on behalf of non-signing inventor Matthew Biondi.

18. In view of the above, it is respectfully requested that the Commissioner find that co-inventor Joel D. Derstine has refused to execute the above-referenced Substitute Declaration and Power of Attorney, that co-inventor Matthew Biondi has refused to execute the above-referenced original Declaration and Power of Attorney, and that the Application be entered in the name of the joint inventors who have executed the Substitute Declaration and Power of Attorney on their own behalf and on behalf of the non-signing inventors Joel D. Derstine and Matthew Biondi.


19. In summary, it is respectfully submitted that the mandates of 37 CFR 1.47(a) have been fulfilled and the above-referenced application should be entered notwithstanding non-execution by two of the seven joint inventors. Accordingly, it is respectfully requested that this Petition be GRANTED and prosecution of the Application be allowed to proceed.

It is respectfully requested that the undersigned be contacted by telephone at the below listed local telephone number, in order to expedite resolution of any remaining issues, if any further comments, questions, or suggestions arise in connection with the application.



Please charge any shortage in fees due in connection with the filing of this paper, including petition fees, to the Deposit Account of Antonelli, Terry, Stout & Kraus, LLP 01-2135(1158.41559X00) and please credit any excess fees to such deposit account.

Respectfully submitted,  
Antonelli, Terry, Stout & Kraus, LLP

By   
Sterling W. Chandler  
Registration No. 51,370

SWC:dmw

1300 N. 17<sup>th</sup> Street  
Suite 1800  
Arlington, VA 22209

Telephone: (703)-312-6600  
Facsimile: (703)-312-6666  
E-Mail: schandler@antonelli.com

DATE: March 24, 2003

## SUBSTITUTE DECLARATION AND POWER OF ATTORNEY

As a below named inventor, We hereby declare that:

Our residence, post office and citizenship are as stated below next to our name.

We believe We are the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter claimed and for which a patent is sought on the invention entitled "**SYSTEM AND METHOD FOR MULTIPLE ACCOUNT SINGLE SECURITY TRADING**", the specification of which

[ ] is attached hereto. [X] was filed on June 29, 2001 as Application Serial No. 09/893,596 and was amended on \_\_\_\_\_ (if applicable) .

We hereby state that we have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above.

We acknowledge the duty to disclose information which is known to me to be material to patentability in accordance with Title 37, Code of Federal Regulations, Section 1.56(a).

We hereby claim foreign priority benefits under Title 35, United States Code, Section 119 of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed:

<b>Prior Foreign Application(s):</b>			<b>Priority Claimed</b>	
<u>Number</u>	<u>Country</u>	<u>Day/Month/Year filed</u>	<u>Yes</u>	<u>No</u>

We hereby claim the benefit under Title 35, United States Code, Section 120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, Section 112, We acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, Section 1.56(a) which occurred between the filing date of the prior application and the national or PCT international filing date of this application:

<b>Prior U. S. Application(s):</b>		
<u>Serial No.</u>	<u>Filing Date</u>	<u>Status: Patented, Pending, Abandoned</u>

We hereby declare that all statements made herein of our own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

We hereby appoint the following attorney(s) and/or agent(s): Alfred A. Stadnicki, Reg. No. 30,226; Larry N. Anagnos, Reg. No. 32,392; Donald Antonelli, Reg. No. 20,296; Frederick D. Bailey, Reg. No. 42,282; Robert M. Bauer, Reg. No. 34,487; Paul W. Bobowiec, Reg. No. 47,431; Carl I. Brundidge, Reg. No. 29,621; Hung H. Bui, Reg. No. 40,415; Sterling W. Chandler, Reg. No. 51,370; James N. Dresser, Reg. No. 22,973; Melvin Kraus, Reg. No. 22,466; Gregory E. Montone, Reg. No. 28,141; David C. Oren, Reg. No. 38,694; Alan E. Shiavelli, Reg. No. 32,087; Ronald J. Shore, Reg. No. 28,577; Paul J. Skwierawski, Reg. No. 32,173; William I. Solomon, Reg. No. 28,565; Donald E. Stout, Reg. No. 26,422; Ralph T. Webb, Reg. No. 33,047 and Harold A. Williamson, Reg. No. 20,212; all of:

Client Ref.: GLTM  
Our Ref.: 3350-102  
Our File No.: 1158.41559X00

ANTONELLI, TERRY, STOUT & KRAUS, LLP  
Suite 1800  
1300 North Seventeenth Street  
Arlington, VA 22209

with full power of substitution and revocation, to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith, and all future correspondence should be addressed to Alfred A. Stadnicki @ ANTONELLI, TERRY, STOUT & KRAUS, Suite 1800, 1300 North Seventeenth Street, Arlington, VA 22209

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Full name of sole or first inventor: Matthew Biondi

---

Inventor's signature:

Date:

---

Residence: 243 8th Street, Apt. 4, Jersey City, NJ, USA

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Citizenship: United States of America

---

Post Office Address: Same as Residence

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Full name of second joint inventor: Robert S. Coira

---

Inventor's signature:

Date:

---

Residence: 105 Rivendell Road, Somerville, NJ, USA

---

Citizenship: United States of America

---

Post Office Address: Same as Residence

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\*\*\*\*\*

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Full name of third joint inventor: Joel D. Derstine

---

Inventor's signature:

Date:

---

Residence: 1355 Dearborn, Apt. 404, Chicago, IL, USA

---

Citizenship: United States of America

---

Post Office Address: Same as Residence

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\*\*\*\*\*

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Full name of fourth joint inventor: Christopher Panzica

---

Inventor's signature:

Date:

---

Residence: 553 Jersey Avenue, #3L, Jersey City, NJ, USA

---

Citizenship: United States of America

---

Post Office Address: Same as Residence

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\*\*\*\*\*

Full name of fifth joint inventor: Michael J. Kent

Inventor's signature:

Date:

Residence: 24 Kendal Avenue, Maplewood, NJ, USA

Citizenship: United States of America

Post Office Address: Same as Residence

\*\*\*\*\*

Full name of sixth joint inventor: Theresa M. McNamara

Inventor's signature:

Date:

Residence: 14 Oakdale Road, Rockville, NY, USA

Citizenship: United States of America

Post Office Address: Same as Residence

\*\*\*\*\*

Full name of seventh joint inventor: Ann Kathleen Harding-Hesse

Inventor's signature:

*Ann Harding*

Date: 10-1-02

Residence: 55 W. 92nd Street, Apt. 2E, New York, NY, USA

Citizenship: United States of America

Post Office Address: Same as Residence

## SUBSTITUTE DECLARATION AND POWER OF ATTORNEY

As a below named inventor, We hereby declare that:

Our residence, post office and citizenship are as stated below next to our name.

We believe We are the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter claimed and for which a patent is sought on the invention entitled "**SYSTEM AND METHOD FOR MULTIPLE ACCOUNT SINGLE SECURITY TRADING**", the specification of which

[ ] is attached hereto. [X] was filed on June 29, 2001 as Application Serial No. 09/893,596 and was amended on \_\_\_\_\_ (if applicable).

We hereby state that we have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above.

We acknowledge the duty to disclose information which is known to me to be material to patentability in accordance with Title 37, Code of Federal Regulations, Section 1.56(a).

We hereby claim foreign priority benefits under Title 35, United States Code, Section 119 of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed:

Prior Foreign Application(s):			Priority Claimed	
Number	Country	Day/Month/Year filed	Yes	No

We hereby claim the benefit under Title 35, United States Code, Section 120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, Section 112, We acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, Section 1.56(a) which occurred between the filing date of the prior application and the national or PCT international filing date of this application:

Prior U. S. Application(s):		
Serial No.	Filing Date	Status: Patented, Pending, Abandoned

We hereby declare that all statements made herein of our own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

We hereby appoint the following attorney(s) and/or agent(s): Alfred A. Stadnicki, Reg. No. 30,226; Larry N. Anagnos, Reg. No. 32,392; Donald Antonelli, Reg. No. 20,296; Frederick D. Bailey, Reg. No. 42,282; Robert M. Bauer, Reg. No. 34,487; Paul W. Bobowiec, Reg. No. 47,431; Carl I. Brundidge, Reg. No. 29,621; Hung H. Bui, Reg. No. 40,415; Sterling W. Chandler, Reg. No. 51,370; James N. Dresser, Reg. No. 22,973; Melvin Kraus, Reg. No. 22,466; Gregory E. Montone, Reg. No. 28,141; David C. Oren, Reg. No. 38,694; Alan E. Shiavelli, Reg. No. 32,087; Ronald J. Shore, Reg. No. 28,577; Paul J. Skwierawski, Reg. No. 32,173; William I. Solomon, Reg. No. 28,565; Donald E. Stout, Reg. No. 26,422; Ralph T. Webb, Reg. No. 33,047 and Harold A. Williamson, Reg. No. 20,212; all of:

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with full power of substitution and revocation, to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith, and all future correspondence should be addressed to Alfred A. Stadnicki @ ANTONELLI, TERRY, STOUT & KRAUS, Suite 1800, 1300 North Seventeenth Street, Arlington, VA 22209

Full name of sole or first inventor: Matthew Biondi

Inventor's signature:

Date:

Residence: 243 8th Street, Apt. 4, Jersey City, NJ, USA

Citizenship: United States of America

Post Office Address: Same as Residence

Full name of second joint inventor: Robert S. Coira

Inventor's signature:

Date:

Residence: 105 Rivendell Road, Somerville, NJ, USA

Citizenship: United States of America

Post Office Address: Same as Residence

Full name of third joint inventor: Joel D. Derstine

Inventor's signature:

Date:

Residence: 1355 Dearborn, Apt. 404, Chicago, IL, USA

Citizenship: United States of America

Post Office Address: Same as Residence

Full name of fourth joint inventor: Christopher Panzica

Inventor's signature:

Date: 12/12/02

Residence: ~~553 Jersey Avenue, #3L, Jersey City, NJ, USA~~ 53 W. 8th St #5FL New York, NY

Citizenship: United States of America

Post Office Address: Same as Residence

Client Ref.: GLTM  
Our Ref.: 3350-102  
Our File No.: 1158.41559X00

\*\*\*\*\*

Full name of fifth joint inventor: Michael J. Kent

Inventor's signature:

Date:

Residence: 24 Kendal Avenue, Maplewood, NJ, USA

Citizenship: United States of America

Post Office Address: Same as Residence

\*\*\*\*\*

Full name of sixth joint inventor: Theresa M. McNamara

Inventor's signature:

Date:

Residence: 14 Oakdale Road, Rockville, NY, USA

Citizenship: United States of America

Post Office Address: Same as Residence

\*\*\*\*\*

Full name of seventh joint inventor: Ann Kathleen Harding-Hesse

Inventor's signature:

Date:

Residence: 55 W. 92nd Street, Apt. 2E, New York, NY, USA

Citizenship: United States of America

Post Office Address: Same as Residence

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of  
Biondi et al.

Serial No.: 09/893,596

Filed: June 29, 2001

Group Art Unit: 2161

Examiner: Unassigned

For: SYSTEM AND METHOD FOR MULTIPLE ACCOUNT SINGLE SECURITY  
TRADING

**DECLARATION OF TRACI L. ASTON UNDER 37 CFR §1.47(a)**

Honorable Assistant Commissioner  
for Patents  
Washington, DC 20231

Sir:

I, Traci L. Aston, hereby state that:

1. I am Executive Assistant to Randy McCoy, Executive Vice President and Chief Technology Officer of CheckFree Corporation. (hereinafter "CheckFree").

2. According to CheckFree's business records, Mr. Joel D. Derstine terminated his employment with CheckFree on January 6, 2001 and his last known address was 1355 Dearborn, Apartment 404, Chicago, IL.

3. On August 9, 2002, I instructed CheckFree's mail room to deposit, with USPS (First Class Mail), a Substitute Declaration and Power of Attorney in connection with the above-referenced application and a copy of an original Declaration and Power of Attorney in connection with the above-referenced application previously executed by Mr. Derstine, addressed to Mr. Derstine at 1355 Dearborn, Apartment 404, Chicago, IL, 60610, under a cover letter of the same date, executed by myself on behalf of Hans Dreyer, Director of Intellectual Property and Patents for CheckFree, requesting that Mr. Derstine execute the forwarded Substitute Declaration and Power of Attorney and return



the executed document to CheckFree and explaining why he was being requested to execute the Substitute Declaration and Power of Attorney. Additionally, I included a postage pre-paid and pre-addressed envelope for Mr. Derstine's use in returning the executed document. A copy of the Forwarded Materials is attached hereto as Exhibit A.

4. On February 25, 2003, after not receiving an executed Substitute Declaration and Power of Attorney from Mr. Derstine, I instructed CheckFree's mail room to deposit, with USPS (Certified Mail, Return Receipt Requested), a second copy of the Substitute Declaration and Power of Attorney, a second copy of the originally executed Declaration and Power of Attorney, and a copy of the cover letter of August 9, 2002, addressed to Mr. Derstine at 1355 Dearborn, Apartment 404, Chicago, IL, 60610, under a cover letter of the same date, executed by myself, requesting that Mr. Derstine execute the forwarded Substitute Declaration and Power of Attorney and return the executed document to CheckFree by March 7, 2003. Additionally, I included a postage pre-paid and pre-addressed envelope for Mr. Derstine's use in returning the executed document. A copy of the Certified Mail receipt and the Forwarded Materials is attached hereto as Exhibit B.

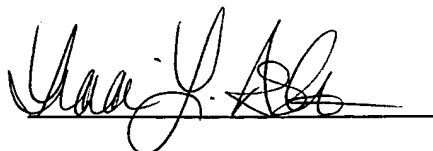
5. On March 5, 2003, after not receiving an executed Substitute Declaration and Power of Attorney from Mr. Derstine, I sent a request for Mr. Derstine's current address to Richard Tierney, Vice President of Product Management at CheckFree's Jersey City, New Jersey office, via electronic mail. On March 6, 2003 I received an electronic mail response from Richard Tierney indicating Mr. Derstine's address as 747 West Cornelia, 2B, Chicago, Illinois 60657. A copy of the electronic mail communications between Mr. Tierney and myself are attached hereto as Exhibit C.

6. On March 6, 2003, I instructed CheckFree's mail room to deposit, with UPS overnight mail, a third copy of the Substitute Declaration and Power of Attorney, a third copy of the originally executed Declaration and Power of Attorney, and a second copy of the cover letter of August 9, 2002, addressed to Mr. Derstine at 747 West Cornelia, 2B, Chicago, Illinois 60657, under a cover letter of the same date, executed by myself,

requesting that Mr. Derstine execute the forwarded Substitute Declaration and Power of Attorney and return the executed document to CheckFree by March 12, 2003. Additionally, I included a postage pre-paid and pre-addressed UPS envelope for Mr. Derstine's use in returning the executed document. The materials of March 6, 2003 were delivered to Mr. Derstine on March 11, 2003. As of March 21, 2003, a copy of the Substitute Declaration and Power of Attorney executed by Mr. Derstine has not been received and Mr. Derstine has not contacted me in any way with respect to the Forwarded Materials or for any other reason. A copy of the Forwarded Materials, a UPS Shipping Receipt addressed to Mr. Derstine, a UPS return Shipping Receipt addressed to Hans Dreyer at CheckFree, and a UPS Tracking Summary showing Mr. Derstine signed for the forwarded materials on March 11, 2003 are attached hereto as Exhibit D.

7. I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Respectfully Submitted

A handwritten signature in black ink, appearing to read "Traci L. Aston", written over a horizontal line.

Traci L. Aston

CheckFree Corporation  
4411 East Jones Bridge Road  
Norcross, Georgia 30092  
Date: March 21, 2003

# EXHIBIT A

- Cover letter dated August 9, 2002 (1 page)
- Substitute Declaration and Power of Attorney (3 pages)
- Copy of originally executed Declaration and Power of Attorney (3 pages)



August 9, 2002

Mr. Joel D. Derstine  
1355 Dearborn, Apt. 404  
Chicago, IL 60610-5884

Re: U.S. Patent Application S/N 09/893,596  
Title: "System and Method for Multiple Account  
Single Security Trading"  
Our Ref.: 3350-112 - Our File No.: 1158.41559X00

Dear Mr. Derstine:


The United States Patent and Trademark Office requires a Substitute Declaration and Power of Attorney in the above-referenced case which includes the citizenship of each of the co-inventors. Unfortunately, the citizenship of one co-inventor was not included on the originally filed Declaration and Power of Attorney.

Enclosed you will find a Substitute Declaration and Power of Attorney identical to the previously filed Declaration and Power of Attorney, except that the missing citizenship has been included in compliance with the requirements of the United States Patent and Trademark Office. Also, enclosed is a copy of your originally executed Declaration and Power of Attorney. Please execute this Substitute Declaration and Power of Attorney and have the same returned to our office in the enclosed stamped envelope at your earliest convenience.

If you have any questions regarding this matter, please do not hesitate to contact me at (614) 564-3019.

Sincerely,

CHECKFREE CORPORATION

  
Hans D. Dreyer  
Director, IP & Patents

HDD:tla  
Enclosures

6000 Perimeter Drive  
Dublin, OH 43017  
614-564-3000  
Internet: [www.checkfree.com](http://www.checkfree.com)  
**The way money moves.**

## DECLARATION AND POWER OF ATTORNEY

As a below named inventor, I hereby declare that:

My residence, post office and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter claimed and for which a patent is sought on the invention entitled "SYSTEM AND METHOD FOR MULTIPLE ACCOUNT SINGLE SECURITY TRADING", the specification of which [ ] is attached hereto. [X] was filed on June 29, 2001 as Application Serial No. 09/893,596 and was amended on \_\_\_\_\_ (if applicable).

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above.

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I hereby claim foreign priority benefits under Title 35, United States Code, Section 119 of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed:

Prior Foreign Application(s):

Number      Country      Day/Month/Year filed

Priority Claimed

Yes   No

I hereby claim the benefit under Title 35, United States Code, Section 120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, Section 112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, Section 1.56(a) which occurred between the filing date of the prior application and the national or PCT international filing date of this application:

Prior U. S. Application(s):

Serial No.

Filing Date

Status: Patented, Pending, Abandoned

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

I hereby appoint the following attorney(s) and/or agent(s): Alfred A. Stadnicki, Reg. No. 30,226; Peter N. Lalos, Reg. No. 19,789; Francis A. Keegan, Reg. No. 19,245; all of:

LALOS & KEEGAN  
1146 Nineteenth Street, N.W.  
Fifth floor  
Washington, D.C. 200363

with full power of substitution and revocation, to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith, and all future correspondence should be addressed to Alfred A. Stadnicki @ LALOS & KEEGAN, 1146 Nineteenth Street, N.W., Washington, D.C. 20036-3703

\*\*\*\*\*  
Full name of sole or first inventor: Matthew Biondi

Inventor's signature: \_\_\_\_\_

\_\_\_\_\_  
Date:

Residence: 243 8<sup>th</sup> Street, Apt. 4, Jersey City, NJ

Citizenship: \_\_\_\_\_

Post Office Address: Same as Residence  
\*\*\*\*\*

Full name of second joint inventor: Robert S. Coira

Inventor's signature: \_\_\_\_\_

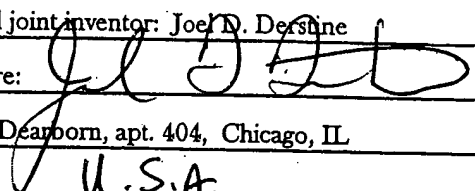
\_\_\_\_\_  
Date:

Residence: 105 Rivendell Road, Somerville, NJ

Citizenship: \_\_\_\_\_

Post Office Address: Same as Residence  
\*\*\*\*\*

Full name of third joint inventor: Joel D. Derstine

Inventor's signature:  \_\_\_\_\_

\_\_\_\_\_  
Date:

Residence: 1355 Dearborn, apt. 404, Chicago, IL

Citizenship: U.S.A.

Post Office Address: Same as Residence  
\*\*\*\*\*

Full name of fourth joint inventor: Christopher Panzica

Inventor's signature: \_\_\_\_\_

\_\_\_\_\_  
Date:

Residence: 553 Jersey Avenue, #3L, Jersey City, NJ

Citizenship: \_\_\_\_\_

Post Office Address: Same as Residence  
\*\*\*\*\*

Full name of fifth joint inventor: Michael J. Kent

Inventor's signature: \_\_\_\_\_

\_\_\_\_\_  
Date:

Residence: 24 Kendal Ave. Maplewood, NJ

Citizenship: USA

Post Office Address: Same as Residence  
\*\*\*\*\*

\*\*\*\*\*  
Full name of sixth joint inventor: Theresa M. McNamara

Inventor's signature:

Date:

Residence: 14 Oakdale Road, Rockville, NY

Citizenship: USA

Post Office Address: Same as Residence

\*\*\*\*\*  
Full name of seventh joint inventor: Ann Kathleen Harding-Hesse

Inventor's signature:

Date:

Residence: 55 W. 92<sup>nd</sup> Street, Apt. 2E, New York, NY

Citizenship:

Post Office Address: Same as Residence

## SUBSTITUTE DECLARATION AND POWER OF ATTORNEY

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[ ] is attached hereto. [X] was filed on June 29, 2001 as Application Serial No. 09/893,596 and was amended on \_\_\_\_\_ (if applicable).

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<u>Serial No.</u>	<u>Filing Date</u>	

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Client Ref.: GLTM  
Our Ref.: 3350-102  
Our File No.: 1158.41659X00

ANTONELLI, TERRY, STOUT & KRAUS, LLP  
Suite 1800  
1300 North Seventeenth Street  
Arlington, VA 22209

with full power of substitution and revocation, to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith, and all future correspondence should be addressed to Alfred A. Stadnicki @ ANTONELLI, TERRY, STOUT & KRAUS, Suite 1800, 1300 North Seventeenth Street, Arlington, VA 22209

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Inventor's signature:

Date:

Residence: 243 8th Street, Apt. 4, Jersey City, NJ, USA

Citizenship: United States of America

Post Office Address: Same as Residence

Full name of second joint inventor: Robert S. Colra

Inventor's signature:

Date:

Residence: 105 Rivendell Road, Somerville, NJ, USA

Citizenship: United States of America

Post Office Address: Same as Residence

Full name of third joint inventor: Joel D. Derstine

Inventor's signature:

Date:

Residence: 1355 Dearborn, Apt. 404, Chicago, IL, USA

Citizenship: United States of America

Post Office Address: Same as Residence

Client Ref.: GLTM  
Our Ref.: 3350-102  
Our File No.: 1158.41559X00

\*\*\*\*\*  
Full name of fifth joint inventor: Michael J. Kent

Inventor's signature:

Date:

Residence: 24 Kendal Avenue, Maplewood, NJ, USA

Citizenship: United States of America

Post Office Address: Same as Residence

\*\*\*\*\*  
Full name of sixth joint inventor: Theresa M. McNamara

Inventor's signature:

Date:

Residence: 14 Oakdale Road, Rockville, NY, USA

Citizenship: United States of America

Post Office Address: Same as Residence

\*\*\*\*\*  
Full name of seventh joint inventor: Ann Kathleen Harding-Hesse

Inventor's signature:

Date:

Residence: 55 W. 92nd Street, Apt. 2E, New York, NY, USA

Citizenship: United States of America

Post Office Address: Same as Residence

# EXHIBIT B

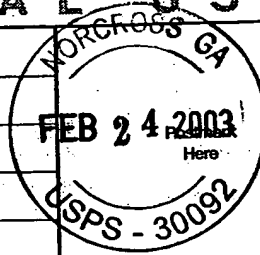
- Certified Mail Receipt
- Cover letter dated February 25, 2003 (1 page)
- Copy of cover letter dated August 9, 2002 (1 page)
- Substitute Declaration and Power of Attorney (3 pages)
- Copy of originally executed Declaration and Power of Attorney (3 pages)

U.S. Postal Service  
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**OFFICIAL USE**

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Total Postage & Fees	\$



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City, State, ZIP+ 4

PS Form 3800, January 2001

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**Important Reminders:**

- Certified Mail may ONLY be combined with First-Class Mail or Priority Mail.
- Certified Mail is not available for any class of International mail.
- NO INSURANCE COVERAGE IS PROVIDED with Certified Mail. For valuables, please consider Insured or Registered Mail.
- For an additional fee, a Return Receipt may be requested to provide proof of delivery. To obtain Return Receipt service, please complete and attach a Return Receipt (PS Form 3811) to the article and add applicable postage to cover the fee. Endorse mailpiece "Return Receipt Requested". To receive a fee waiver for a duplicate return receipt, a USPS postmark on your Certified Mail receipt is required.
- For an additional fee, delivery may be restricted to the addressee or addressee's authorized agent. Advise the clerk or mark the mailpiece with the endorsement "Restricted Delivery".
- If a postmark on the Certified Mail receipt is desired, please present the article at the post office for postmarking. If a postmark on the Certified Mail receipt is not needed, detach and affix label with postage and mail.

**IMPORTANT: Save this receipt and present it when making an inquiry.**

PS Form 3800, January 2001 (Reverse)

102595-01-M-1829



February 25, 2003

Mr. Joel D. Derstine  
1355 Dearborn, Apt. 404  
Chicago, IL 60610-5884

Dear Mr. Derstine:

On August 9, 2002, CheckFree Corporation sent you a letter requesting your signature on the Declaration and Power of Attorney enclosed with that letter for the U.S. Patent Application S/N 09/893,596. To date we have not received a reply from you.

Enclosed you will find another copy of the Substitute Declaration and Power of Attorney for your signature. Should you have any questions concerning this document you may contact Hans Dreyer at 614-564-3019. Otherwise, please execute and return the Substitute Declaration and Power of Attorney to the attention of Hans Dreyer in the enclosed stamped envelop by Friday, March 7, 2003.

Your prompt response to this matter is greatly appreciated.

Thank you,

A handwritten signature in black ink, appearing to read "Traci L. Aston", written over a horizontal line.

Traci L. Aston  
Executive Assistant  
CheckFree Corporation



August 9, 2002

Mr. Joel D. Derstine  
1355 Dearborn, Apt. 404  
Chicago, IL 60610-5884

Re: U.S. Patent Application S/N 09/893,596  
Title: "System and Method for Multiple Account  
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Our Ref.: 3350-112 - Our File No.: 1158.41559X00

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Sincerely,

CHECKFREE CORPORATION

*Hans D. Dreyer*  
Hans D. Dreyer  
Director, IP & Patents

HDD:tl  
Enclosures

6000 Perimeter Drive  
Dublin, OH 43017  
614-564-3000  
Internet: [www.checkfree.com](http://www.checkfree.com)  
**The way money moves.**

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ANTONELLI, TERRY, STOUT & KRAUS, LLP  
Suite 1800  
1300 North Seventeenth Street  
Arlington, VA 22209

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Full name of sole or first inventor: Matthew Biondi

Inventor's signature:

Date:

Residence: 243 8th Street, Apt. 4, Jersey City, NJ, USA

Citizenship: United States of America

Post Office Address: Same as Residence

Full name of second joint inventor: Robert S. Colra

Inventor's signature:

Date:

Residence: 105 Rivendell Road, Somerville, NJ, USA

Citizenship: United States of America

Post Office Address: Same as Residence

Full name of third joint inventor: Joel D. Derstine

Inventor's signature:

Date:

Residence: 1355 Dearborn, Apt. 404, Chicago, IL, USA

Citizenship: United States of America

Post Office Address: Same as Residence



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Our Ref.: 3359-102  
Our File No.: 1158.41559X00

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Inventor's signature:

Date:

Residence: 24 Kendal Avenue, Maplewood, NJ, USA

Citizenship: United States of America

Post Office Address: Same as Residence

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Full name of sixth joint inventor: Theresa M. McNamara

Inventor's signature:

Date:

Residence: 14 Oakdale Road, Rockville, NY, USA

Citizenship: United States of America

Post Office Address: Same as Residence

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LALOS & KEEGAN  
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Citizenship:

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Full name of second joint inventor: Robert S. Coira

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Date:

Residence: 105 Rivendell Road, Somerville, NJ

Citizenship:

Post Office Address: Same as Residence

Full name of third joint inventor: Joel D. Derstine

Inventor's signature:

Date:

Residence: 1355 Dearborn, apt. 404, Chicago, IL

Citizenship:

U.S.A.

Post Office Address: Same as Residence

Full name of fourth joint inventor: Christopher Panzica

Inventor's signature:

Date:

Residence: 553 Jersey Avenue, #3L, Jersey City, NJ

Citizenship:

Post Office Address: Same as Residence

Full name of fifth joint inventor: Michael J. Kent

Inventor's signature:

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Post Office Address: Same as Residence

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Date:

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Citizenship: USA

Post Office Address: Same as Residence

.....  
Full name of seventh joint inventor: Ann Kathleen Harding-Hesse

Inventor's signature:

Date:

Residence: 55 W. 92<sup>nd</sup> Street, Apt. 2E, New York, NY

Citizenship:

Post Office Address: Same as Residence

# EXHIBIT C

- Copy of electronic mail communications between Traci L. Aston and Richard Tierney

Richard Tierney  
03/06/2003 01:38 PM

To: Traci Aston/GA/CheckFree@CheckFree  
Subject: Re: Joel Derstine

Traci -

Here is the contact info:

Joel Derstine  
747 W Cornelia #2B  
Chicago, IL 60657

Rich

Rich Tierney  
VP Product Management  
CheckFree Investment Services  
rtierney@checkfree.com  
Phone: 201-324-5108

The #1 Way to Pay Online  
<http://www.checkfree.com/paybillsonline>

Traci Aston

Traci Aston  
03/05/2003 02:58 PM

To: Richard Tierney/NJ/CheckFree@CheckFree  
cc:  
Subject: Joel Derstine

Rich:

We are trying to locate Joel Derstine to sign a patent with CheckFree. I was told you or someone in your office may keep in touch with him and have an accurate address. Please let me know if you or someone in NJ has any information to help us contact Joel.

Thanks!

Traci L. Aston  
Executive Assistant  
taston@checkfree.com  
Phone: 678-375-3420  
Fax: 678-375-3010

The #1 Way to Pay Online  
<http://www.checkfree.com/paybillsonline>

# EXHIBIT D

- UPS shipping receipt addressed to Joel Derstine
- UPS return shipping receipt addressed to Hans Dreyer
- UPS Tracking Summary (1 page)
- Cover letter dated March 6 , 2003 (1 page)
- Copy of cover letter dated August 9, 2002 (1 page)
- Substitute Declaration and Power of Attorney (3 pages)
- Copy of originally executed Declaration and Power of Attorney (3 pages)



CheckFree Corporation  
4411 East Jones Bridge Road  
Norcross, Georgia 30092  
770-441-3387

Mr. Joel Derstine  
747 W. Cornelia #2B  
Chicago, IL 60657

tracking 123808731344202394

March 11th 5:43  
Signed by Derstine

DATE 3/6/03  
REQUESTED BY Traci Aston  
PHONE # 53420  
COST CODE # 10768

TRACKING #  
**2693**

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Hans Dreyer  
CheckFree Corporation  
6000 Perimeter Drive  
Dublin, OH 43017

DATE 3/6/03  
REQUESTED BY Traci Aston  
PHONE # 53420  
COST CODE # 10768

TRACKING #  
**2692**

**TYPE OF UPS DELIVERY**

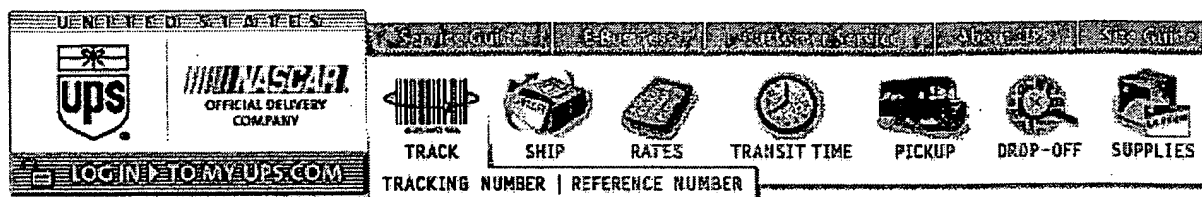
- ☒ NEXT DAY  
☒ AM  
☐ PM  
☐ 2ND DAY ☐ 3 DAY  
☐ SATURDAY ☐ GROUND

\* For international shipping, complete a UPS  
worldwide waybill and 5 copies of an international  
shipment form.

COMMENTS This is for the  
return envelope.

CUSTOMER COPY





## Tracking Summary

To see a detailed report for each package, please select the Detail button.

### TRACKING NUMBER

1. 1Z 380 873 13 4420 239 4



### STATUS

**Delivered**

Delivered on:

Mar 11, 2003 5:43 P.M.

Delivered to:

CHICAGO, IL, US

Signed by:

DERSTINE

Service Type:

NEXT DAY AIR  
SAVER

Tracking results provided by UPS: Mar 19, 2003 10:06 A.M. Eastern Time (USA)

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[Trademark and Tariff Information](#)



March 6, 2003

Mr. Joel D. Derstine  
747 W. Cornelia #2B  
Chicago, IL 60657

Dear Mr. Derstine:

On August 9, 2002, CheckFree Corporation sent you a letter requesting your signature on the Declaration and Power of Attorney enclosed with that letter for the U.S. Patent Application S/N 09/893,596. To date we have not received a reply from you.

Enclosed you will find another copy of the Substitute Declaration and Power of Attorney for your signature. **Please sign in blue ink and correct any personal information that applies to you.** Should you have any questions concerning this document you may contact Hans Dreyer at 614-564-3019. Otherwise, please execute and return the Substitute Declaration and Power of Attorney to the attention of Hans Dreyer in the enclosed UPS envelop by Wednesday, March 12, 2003.

Your prompt response to this matter is greatly appreciated.

Thank you,

A handwritten signature in blue ink, appearing to read "Traci L. Aston", is written over the "Thank you," text.

Traci L. Aston  
Executive Assistant  
CheckFree Corporation



August 9, 2002

Mr. Joel D. Derstine  
1355 Dearborn, Apt. 404  
Chicago, IL 60610-5884

Re: U.S. Patent Application S/N 09/893,596  
Title: "System and Method for Multiple Account  
Single Security Trading"  
Our Ref.: 3350-112 -- Our File No.: 1158.41559X00

Dear Mr. Derstine:

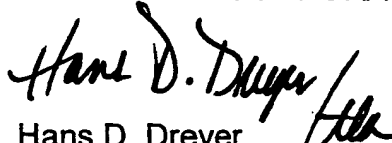
The United States Patent and Trademark Office requires a Substitute Declaration and Power of Attorney in the above-referenced case which includes the citizenship of each of the co-inventors. Unfortunately, the citizenship of one co-inventor was not included on the originally filed Declaration and Power of Attorney.

Enclosed you will find a Substitute Declaration and Power of Attorney identical to the previously filed Declaration and Power of Attorney, except that the missing citizenship has been included in compliance with the requirements of the United States Patent and Trademark Office. Also, enclosed is a copy of your originally executed Declaration and Power of Attorney. Please execute this Substitute Declaration and Power of Attorney and have the same returned to our office in the enclosed stamped envelope at your earliest convenience.

If you have any questions regarding this matter, please do not hesitate to contact me at (614) 564-3019.

Sincerely,

CHECKFREE CORPORATION

  
Hans D. Dreyer  
Director, IP & Patents

HDD:lla  
Enclosures

6000 Perimeter Drive  
Dublin, OH 43017  
614-564-3000  
Internet: [www.checkfree.com](http://www.checkfree.com)  
**The way money moves.**

## SUBSTITUTE DECLARATION AND POWER OF ATTORNEY

As a below named inventor, We hereby declare that:

Our residence, post office and citizenship are as stated below next to our name.

We believe We are the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter claimed and for which a patent is sought on the invention entitled "SYSTEM AND METHOD FOR MULTIPLE ACCOUNT SINGLE SECURITY TRADING", the specification of which

[ ] is attached hereto. [X] was filed on June 29, 2001 as Application Serial No. 09/893,596 and was amended on \_\_\_\_\_ (if applicable).

We hereby state that we have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above.

We acknowledge the duty to disclose information which is known to me to be material to patentability in accordance with Title 37, Code of Federal Regulations, Section 1.56(a).

We hereby claim foreign priority benefits under Title 35, United States Code, Section 119 of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed:

Prior Foreign Application(s):			Priority Claimed
<u>Number</u>	<u>Country</u>	<u>Day/Month/Year filed</u>	<u>Yes</u> <u>No</u>

We hereby claim the benefit under Title 35, United States Code, Section 120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, Section 112, We acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, Section 1.56(a) which occurred between the filing date of the prior application and the national or PCT International filing date of this application:

Prior U. S. Application(s):		
<u>Serial No.</u>	<u>Filing Date</u>	<u>Status: Patented, Pending, Abandoned</u>

We hereby declare that all statements made herein of our own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

We hereby appoint the following attorney(s) and/or agent(s): Alfred A. Stadnicki, Reg. No. 30,226; Larry N. Anagnos, Reg. No. 32,392; Donald Antonelli, Reg. No. 20,296; Frederick D. Bailey, Reg. No. 42,282; Robert M. Bauer, Reg. No. 34,487; Paul W. Bobowiec, Reg. No. 47,431; Carl J. Brundidge, Reg. No. 29,621; Hung H. Bui, Reg. No. 40,415; Sterling W. Chandler, Reg. No. 51,370; James N. Dresser, Reg. No. 22,973; Melvin Kraus, Reg. No. 22,466; Gregory E. Montone, Reg. No. 28,141; David C. Oren, Reg. No. 38,694; Alan E. Shjavalli, Reg. No. 32,087; Ronald J. Shore, Reg. No. 28,577; Paul J. Skwierawski, Reg. No. 32,173; William I. Solomon, Reg. No. 28,565; Donald E. Stout, Reg. No. 26,422; Ralph T. Webb, Reg. No. 33,047 and Harold A. Williamson, Reg. No. 20,212; all of:

Client Ref.: GLTM  
Our Ref.: 3350-102  
Our File No.: 1158.41559X00

ANTONELLI, TERRY, STOUT & KRAUS, LLP  
Suite 1800  
1300 North Seventeenth Street  
Arlington, VA 22209

with full power of substitution and revocation, to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith, and all future correspondence should be addressed to Alfred A. Stadnicki @ ANTONELLI, TERRY, STOUT & KRAUS, Suite 1800, 1300 North Seventeenth Street, Arlington, VA 22209

Full name of sole or first inventor: Matthew Biondi

Inventor's signature:

Date:

Residence: 243 8th Street, Apt. 4, Jersey City, NJ, USA

Citizenship: United States of America

Post Office Address: Same as Residence

Full name of second joint inventor: Robert S. Colra

Inventor's signature:

Date:

Residence: 105 Rivendell Road, Somerville, NJ, USA

Citizenship: United States of America

Post Office Address: Same as Residence

Full name of third joint inventor: Joel D. Derstine

Inventor's signature:

Date:

Residence: 1355 Dearborn, Apt. 404, Chicago, IL, USA

Citizenship: United States of America

Post Office Address: Same as Residence

Client Ref.: GLTM  
Our Ref.: 3350-102  
Our File No.: 1158.41559X00

\*\*\*\*\*

Full name of fifth joint inventor: Michael J. Kent

Inventor's signature:

Date:

Residence: 24 Kendal Avenue, Maplewood, NJ, USA

Citizenship: United States of America

Post Office Address: Same as Residence

\*\*\*\*\*

Full name of sixth joint inventor: Theresa M. McNamara

Inventor's signature:

Date:

Residence: 14 Oakdale Road, Rockville, NY, USA

Citizenship: United States of America

Post Office Address: Same as Residence

\*\*\*\*\*

Full name of seventh joint inventor: Ann Kathleen Harding-Hesse

Inventor's signature:

Date:

Residence: 55 W. 92nd Street, Apt. 2E, New York, NY, USA

Citizenship: United States of America

Post Office Address: Same as Residence

## DECLARATION AND POWER OF ATTORNEY

As a below named inventor, I hereby declare that:

My residence, post office and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter claimed and for which a patent is sought on the invention entitled "SYSTEM AND METHOD FOR MULTIPLE ACCOUNT SINGLE SECURITY TRADING", the specification of which [ ] is attached hereto. [X] was filed on June 29, 2001 as Application Serial No. 09/893,596 and was amended on \_\_\_\_\_ (if applicable).

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information which is known to me to be material to patentability in accordance with Title 37, Code of Federal Regulations, Section 1.56(a).

I hereby claim foreign priority benefits under Title 35, United States Code, Section 119 of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed:

Prior Foreign Application(s):

Number      Country      Day/Month/Year filed

Priority Claimed

Yes    No

I hereby claim the benefit under Title 35, United States Code, Section 120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, Section 112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, Section 1.56(a) which occurred between the filing date of the prior application and the national or PCT international filing date of this application:

Prior U. S. Application(s):

Serial No.

Filing Date

Status: Patented, Pending, Abandoned

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

I hereby appoint the following attorney(s) and/or agent(s): Alfred A. Stadnicki, Reg. No. 30,226; Peter N. Lalos, Reg. No. 19,789; Francis A. Keegan, Reg. No. 19,245; all of:

LALOS & KEEGAN  
1146 Nineteenth Street, N.W.  
Fifth floor  
Washington, D.C. 200363

with full power of substitution and revocation, to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith, and all future correspondence should be addressed to Alfred A. Stadnicki @ LALOS & KEEGAN, 1146 Nineteenth Street, N.W., Washington, D.C. 20036-3703

\*\*\*\*\*  
Full name of sole or first inventor: Matthew Biondi

Inventor's signature: \_\_\_\_\_

Date: \_\_\_\_\_

Residence: 243 8<sup>th</sup> Street, Apt. 4, Jersey City, NJ

Citizenship: \_\_\_\_\_

Post Office Address: Same as Residence

\*\*\*\*\*  
Full name of second joint inventor: Robert S. Coira

Inventor's signature: \_\_\_\_\_

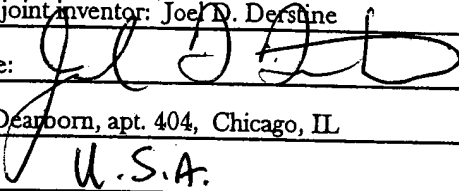
Date: \_\_\_\_\_

Residence: 105 Rivendell Road, Somerville, NJ

Citizenship: \_\_\_\_\_

Post Office Address: Same as Residence

\*\*\*\*\*  
Full name of third joint inventor: Joe D. Dersine

Inventor's signature:  \_\_\_\_\_

Date: \_\_\_\_\_

Residence: 1355 Dearborn, apt. 404, Chicago, IL

Citizenship: U.S.A.

Post Office Address: Same as Residence

\*\*\*\*\*  
Full name of fourth joint inventor: Christopher Panzica

Inventor's signature: \_\_\_\_\_

Date: \_\_\_\_\_

Residence: 553 Jersey Avenue, #3L, Jersey City, NJ

Citizenship: \_\_\_\_\_

Post Office Address: Same as Residence

\*\*\*\*\*  
Full name of fifth joint inventor: Michael J. Kent

Inventor's signature: \_\_\_\_\_

Date: \_\_\_\_\_

Residence: 24 Kendal Ave. Maplewood, NJ

Citizenship: USA

Post Office Address: Same as Residence



.....  
Full name of sixth joint inventor: Theresa M. McNamara

Inventor's signature:

Date:

Residence: 14 Oakdale Road, Rockville, NY

Citizenship: USA

Post Office Address: Same as Residence

.....  
Full name of seventh joint inventor: Ann Kathleen Harding-Hesse

Inventor's signature:

Date:

Residence: 55 W. 92<sup>nd</sup> Street, Apt. 2E, New York, NY

Citizenship:

Post Office Address: Same as Residence